Sponsored Programs Essentials – Part 1:

Introduction to SPO & Pre-Award
Introductions

• Michael Warnock
  • Associate Director, Sponsored Programs

• Aaron Trammell
  • Research Administration Training Officer, Sponsored Programs

• Who are you?
  • Name, department, how long have you been at the University?
Sponsored Programs Essentials

Reference Materials

Sponsored Programs website – http://research.ucdavis.edu/

Principles in rights to future research result -
http://policy.ucop.edu/doc/2500487/PrinciplesRegardingResearchResults

Consulting with Industry –

UC Davis Policies (SPO) - http://manuals.ucdavis.edu/PPM/contents.htm


Advance Account Request –

IP Awareness Training module - http://research.ucdavis.edu/industry/ia/researchers/ip-types/


Where to sign up for Listservs - http://research.ucdavis.edu/resources/listserv-subscriptions/

AB20 – Model Contract Language for Contracts with State of California Agencies -
http://research.ucdavis.edu/proposals-grants-contracts/spo/#model-contract
Learning Objectives

• Identify what “team” your department will work with in Sponsored Programs.

• Identify how to contact the person in Sponsored Programs who can answer a specific type of question.

• Describe common types of proposals and awards.

• Know where to find major UC, UC Davis, Federal, and State contract and grant policies and regulations.

• Identify roles and responsibilities in administration of sponsored programs.

• Find information about training courses offered through Sponsored Programs.
Today we are going to talk about.....

- Intro to Sponsored Programs
- Why have Sponsored Programs?
- Who on campus signs what??
- Proposals – Essentials & Best Practices
- Resources

Lets get started!
Today we are going to talk about.....

• Intro to Sponsored Programs

• Why have Sponsored Programs?

• Proposals – Essentials & Best Practices

• Resources
What is a Sponsored Project?

• Essential elements
  • External funding
  • Academic unit
  • Tasks or other activities being conducted for external party (deliverable)

• Individual activities are sponsored projects; collectively, sponsored projects constitute sponsored programs

• Absence of a deliverable typically (there are many types of deliverables) becomes a gift

• Sale of something by a non-academic unit does not qualify as a sponsored project
  • Ticket to an athletic event
  • Books and memorabilia in the bookstore
  • Etc.

• Contact your analyst with questions
Overview of the Funding Process & UCD

1. Investigator has an idea, looks for funding opportunities
2. PI writes proposal
3. Department helps prepare details
4. Proposal sent to Sponsored Programs Office
5. Department sets up the fund with Contracts & Grants Accounting
6. Proposal sent through SPO to funding agency
7. Sponsored Programs accepts award on behalf of the Regents
8. Agency reviews proposal & decides whether or not to fund
9. Award ends & Final Reports are submitted
10. PI conducts research, spends award
11. Department monitors expenditures
12. PI uses results to develop more proposals
13. Department sets up the fund with Contracts & Grants Accounting
14. Proposal sent to Sponsored Programs Office
15. Department helps prepare details
16. PI writes proposal
SPO Intro...How we’re Organized – UC Davis

The positions of Vice Chancellor – Human Health Sciences and Dean – School of Medicine are held by one individual.

Updated July 20, 2015
SPO Intro...How we’re Organized – Office of Research
SPO Intro...How we’re Organized – Sponsored Programs
## Proposal Team

### Proposals

<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Michael L Warnock</td>
<td>Co-Associate Director</td>
<td>(530) 754-7917</td>
</tr>
<tr>
<td>Dye Hixenbaugh, Chris</td>
<td>Team Leader</td>
<td>(530) 754-8034</td>
</tr>
<tr>
<td>Snyder, linger</td>
<td>College of Agricultural and Environmental Sciences</td>
<td>(530) 752-3767</td>
</tr>
<tr>
<td>Snyder, linger</td>
<td>College of Agricultural and Environmental Sciences</td>
<td>(530) 754-8318</td>
</tr>
<tr>
<td>Pham, Lien</td>
<td>College of Engineering</td>
<td>(530) 754-1079</td>
</tr>
<tr>
<td>Bell, Patrick</td>
<td>Graduate School of Management</td>
<td>(530) 754-0114</td>
</tr>
<tr>
<td>Bell, Patrick</td>
<td>School of Education</td>
<td>(530) 754-0114</td>
</tr>
<tr>
<td>Bell, Patrick</td>
<td>School of Law</td>
<td>(530) 754-0114</td>
</tr>
<tr>
<td>Bell, Patrick</td>
<td>University Extension</td>
<td>(530) 754-0114</td>
</tr>
<tr>
<td>Bell, Patrick</td>
<td>Vice Chancellor - Research(ORUs except Cancer and Primate Centers)</td>
<td>(530) 754-0114</td>
</tr>
<tr>
<td>Pattison, Robert</td>
<td>Team Leader</td>
<td>(530) 754-7996</td>
</tr>
<tr>
<td>Whistler, Victoria</td>
<td>College of Letters and Science</td>
<td>(530) 754-8206</td>
</tr>
<tr>
<td>Whistler, Victoria</td>
<td>Graduate Studies</td>
<td>(530) 754-8206</td>
</tr>
<tr>
<td>Larsen, Christine</td>
<td>School of Medicine</td>
<td>(530) 752-1720</td>
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<tr>
<td>Young, Troy</td>
<td>School of Medicine</td>
<td>(530) 752-1477</td>
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<tr>
<td>Neri, Erli</td>
<td>School of Veterinary Medicine</td>
<td>(530) 754-8192</td>
</tr>
<tr>
<td>Larsen, Christine</td>
<td>Other Miscellaneous Departments</td>
<td>(530) 752-1720</td>
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[http://research.ucdavis.edu/contact-us/sponsored-programs/](http://research.ucdavis.edu/contact-us/sponsored-programs/)
## Proposal Team – CA&ES Assignments

<table>
<thead>
<tr>
<th>Jinger Snyder</th>
<th>Shanna Jose</th>
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<tr>
<td><strong>Proposals - College of Ag &amp; Env Sci.</strong></td>
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<td>Wildlife &amp; Fisheries Biology</td>
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Jinger Snyder: jssnyder@ucdavis.edu

Shanna Jose: snation@ucdavis.edu

Proposal Team – SOM Assignments

<table>
<thead>
<tr>
<th>Troy Young</th>
<th>Christine Larsen</th>
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<tr>
<td>Betty I Moore Nursing School</td>
<td>Med: Anesthesiology</td>
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<td>Med Int Med-Infectious Disease</td>
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<td>Med: Orthopedic Surgery</td>
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<td>Med: Cancer Center Admin</td>
<td>Med: Pm&amp;R Research Lab</td>
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<td>Med: Otolaryngology</td>
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Troy Young: troyoung@ucdavis.edu
Christine Larsen: clar@ucdavis.edu

Proposal Team – Additional Departments

Additional Departments

- Library
- Office of the Chancellor
- UCDMC - Hospitals and Clinics
- Vice Chancellor - Student Affairs
- Vice Chancellor Campus Planning, Facilities/Safety

Christine Larsen: clar@ucdavis.edu

Proposal “essentials”

• Proposal Inbox ([proposals@ucdavis.edu](mailto:proposals@ucdavis.edu))

• Complete proposal, completed data sheet and documentation due to SPO no less than 5 days prior to proposal due date

• Final science need not be complete when proposal submitted to SPO, but must be complete and to SPO at least one business day before due date

• SPO will submit most electronic proposals

• For proposals SPO does not submit, allow at least one (more at discretion of department) business day before actual sponsor deadline—department deadline becomes effective submission deadline for SPO

• All proposals are required to come through SPO even if sponsor does not require it ([http://manuals.ucdavis.edu/ppm/230/230-02.pdf](http://manuals.ucdavis.edu/ppm/230/230-02.pdf))

• Contact your analyst with questions
Extramural Funding at UC Davis in 2014

Funding by Source %

- Federal: 51%
- State: 20%
- Business: 6%
- Higher Education: 7%
- Non-Profit: 5%
- Higher Education: 7%
- Interest Group: 2%
- Charity: 4%
--campus/OP: 2%
- Other: 1%
Proposals in Sponsored Programs

- 5,400 proposals
- ~104 per week
- ~675 per analyst

Number of Proposals Processed in SPO FY 2014-2015

4338
1062

New
Modification
Today we are going to talk about.....

- Intro to Sponsored Programs

- Why have Sponsored Programs?
  - Sponsor requirement
  - Institutional efficiency
  - UC policy citations (95-01)
  - Delegations of authority

- Proposals – Essentials & Best Practices

- Resources

- Resources
Why have SPO - Sponsor perspective

- Sponsor requirements
  - Electronic system registration
  - Tax ID, DUNS, etc.
  - Reps & Certs
    - IRB
    - IACUC
    - CoI
    - Export Control
  - Single consistent point of contact
  - MBE/WBE subcontracting plans
  - Special sponsor requirements
Why have SPO - Sponsor perspective

- Electronic system registration
- Fastlane
- Grants.gov
- Institutional registrations
Why have SPO - Sponsor perspective

- Tax ID, DUNS, etc.

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<tr>
<td>Other Academic Use (use this for all other units)</td>
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http://research.ucdavis.edu/about-us/institutional-information
Why have SPO - Sponsor perspective

- Reps & Certs
- IRB

The role of the Institutional Review Board (IRB) is to review and make decisions on all research involving human subjects at the University of California, Davis, with the intent of ensuring compliance with the appropriate regulations and policy, designed to ensure that the safety and welfare of subjects are properly protected. The IRB at UC Davis is comprised of three committees: two clinical (IRB-A, IRB –B) and one social and behavioral (IRB-C), with members of each committee including UC Davis faculty, clinicians, staff, students and community members. The Vice Chancellor for Research selects and appoints members of the IRB and provides staff support to the IRB.

- IACUC

The IACUC oversees the UC Davis Animal Care and Use program. The IACUC’s responsibilities include, but are not limited to: reviewing the university’s program for the humane care and use of animals used in research and teaching and the status of the institution’s animal facilities. The IACUC reviews approves, requires modifications, or withholds approval of Animal Care and Use Protocols. The Vice Chancellor for Administrative and Resource Management has been delegated the responsibilities and authority of the Institutional Official of the Animal Care program. The department of Safety Services provides the staff support to the IACUC.
Why have SPO - Sponsor perspective

• Reps & Certs

• COI
  The Conflict of Interest Committee (COIC) advises the Vice Chancellor of Research on potential conflicts of interest in research based upon financial disclosures from investigators and recommends action to be taken in response to such conflicts. This faculty-based committee welcomes receiving faculty applications. The Vice Chancellor for Research selects and appoints members of the COIC and provides staff support to the COIC.

• Export Control
  The United States export controls exist to protect the national security and foreign policy interests of the United State, and is governed by the U.S. State Department International Traffic in Arms Regulations (ITAR) and the U.S. Commerce Department Export Administration Regulations (EAR) or foreign entities. Due to concerns about homeland security, proliferation of weapons of mass destruction, terrorism, and unauthorized releases of technology to U.S. economic competitors, the federal government has recently increased its scrutiny of export control compliance by colleges and universities.

• Other Reps & Certs Required by the Sponsor
Why have SPO - Sponsor perspective

• MBE/WBE subcontracting plans

• Drug free workplace

• Nondiscriminatory workplace

• Civil rights assurances

• Special sponsor requirements

• Single point of contact

• SPO negotiates entire agreement with sponsor—no separate negotiations for IP terms, accounting terms, etc.

• SPO provides institutional assurances for sponsor—no need to deal independently with IRB, IACUC, COI, etc.

• SPO provides institutional commitment to sponsor—award is to institution
Why have SPO - Institutional Efficiency

- Consistency in proposals
- Consistency in award terms
- F&A rate negotiation
- Fringe benefit rate negotiation
- Review of institutional commitments
- Institutional (rather than individual and/or departmental) perspective when working with sponsors
- Coordination among campus offices interfacing with sponsors
Why have SPO - Institutional Efficiency

Consistency in proposals:

- Institutional attribution
- Appropriate use of rates
- Compliance requirements
- Comply with Federal regulations regarding a Drug Free Workplace
- Provide a smoke-free workplace
- Comply with Public Health Service regulations regarding Misconduct in Science
- Comply with the Civil Rights Act of 1964
- Comply with the Rehabilitation Act of 1973
- Comply with Public Law 92-318 which prohibits discrimination on the basis of sex
- Comply with the Age Discrimination Act of 1973
- Comply with the Federal regulations regarding Conflict of Interest
- Lobbying disclosure
Why have SPO - Institutional Efficiency

Consistency in award terms:
• Having negotiations conducted centrally provides stability within the institution and a known quantity for sponsors

F&A rate negotiation:
• Negotiated with the government based on documented and audited costs
• Negotiation begins with a proposal that documents costs
• Negotiation results in a rate lower than documented costs
• Administrative costs capped at 26% even if documented costs are more
• Vast majority of administrative costs are “departmental administration” costs which includes administrative costs in departments, dean’s offices and institutes/centers
• Use of rate simplifies budgeting and reduces institutional costs
• University rates are significantly lower than corporate rates
• When in doubt include full applicable rate in proposal
Why have SPO - Institutional Efficiency

Fringe benefit rate application:
• Negotiated with the government each year
• Rate based on documented costs in prior year
• Negotiated rate adjusted for over or under recovery
• Use of rate is more predictable for project budgeting and expenditures

Review of institutional commitments:
• Appropriate signatures for department/college commitments
• Cost share requirements
• Approved F&A contributions
• Limited submission compliance
Institutional (rather than individual and/or departmental) perspective when working with sponsors:

- Right to publish
- F&A recovery
- Right to full recovery
- Limitations on research
  - Future research by PI
  - Current and future research of other faculty
- Acceptability to Regents
  - Propriety
  - Political sensitivity
Why have SPO - Institutional Efficiency

Coordination among campus offices interfacing with sponsors:

- Safety Services (Environmental Health & Safety)
- Research Compliance & Integrity
- InnovationAccess
- Office of Corporate Relations
- Development Office
- Contracting Services
- Health System Contracts
- Graduate Studies
Why have SPO – UC Policy

- UCOP policy 95-01 effective 12/14/1994
- It is the policy of the University of California that employees who receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit their proposals for extramural support through the appropriate local contracts and grants office. Awards must be made to The Regents of the University of California.
Why have SPO – Delegation of Authority

• Contract and Grant Manual 2-200
• No solicitation or application for extramural support of research, training, or public service programs shall be made officially in the name of The Regents without the prior approval of The Regents or of an authorized official of the University. This authorization is by formal delegation of contract and grant authority. Standing Order 100.4(dd) authorizes the President of the University to solicit and accept or execute such proposals and awards, with stated exceptions. The President has redelegated this authority . . . to the appropriate Vice Chancellors, Deans, Directors, and Contract and Grant Officers.
Today we are going to talk about.....

• Intro to Sponsored Programs
• Why have Sponsored Programs?

• Proposals – Essentials & Best Practices
  • Process
  • Roles and Responsibilities

• Resources
Proposals...

Process

• Finding Funding
• Preparing a Proposal
• Proposal Submission
• Securing an Award
• Conducting the Research
• Closeout
Process - Finding funding

- PI—primary decision-maker on where to seek funding

- Department/college administration—may be able to assist, some units have dedicated staff for this

- Interdisciplinary Research Support Office—has access to funding database search capabilities; can assist PI with setting up a profile to alert PI by email when funding opportunities meeting their criteria occur

- Listservs –
  - [http://research.ucdavis.edu/resources/listserv-subscriptions/](http://research.ucdavis.edu/resources/listserv-subscriptions/)
Process - Preparing a proposal

• PI—writes the science for the proposal, completes or oversees completion of proposal documentation and supplementary information

• Department/college administration—may provide considerable support verifying that the proposal complies with sponsor requirements, and in putting together the proposal package; varies from unit to unit

• SPO—provides basic institutional information to be included in proposal [http://research.ucdavis.edu/about-us/institutional-information/](http://research.ucdavis.edu/about-us/institutional-information/) and by email/phone; may be able to assist with budget given enough lead time

• Office of Interdisciplinary Research Support—provides considerable support for large, complex proposals
Process - Proposal submission

- PI—responsible for securing appropriate signatures on data sheet and securing commitments with appropriate signatures for proposed subwardees and/or cost share, and forwarding to SPO with appropriate lead time for SPO review. By signing the data sheet, the PI assures that the proposal (including the budget) has been prepared in accordance with all policies and regulations pertinent to the application, and she/he further agrees to abide by all rules, policies and regulations that may apply to any ensuing award.

- Department/college administration—chairs/deans signing the data sheet agree to commit resources under their control that have been identified to support the proposal; staff assist in completing forms, securing signatures and forwarding the proposal to SPO in time for SPO review before the submission deadline.
Process - Proposal submission cont.

• SPO—review proposal for institutional commitments; review for appropriate signatures on department/college commitments; review for compliance steps required before submission; review for appropriate F&A rate in budget; provide institutional endorsement for sponsor-required representations and certifications in accordance with delegated authority.

• Other campus units—generally none, General Counsel may become involved in review of legal terms for RFPs if proposal submission invokes acceptance of those terms.
Roles and responsibilities

**SPO:**

- Horror Stories...
Process - Securing an award

• PI—must accept responsibility for conduct of the research described in the award; provides requested information in response to sponsor inquiries

• Department/college administration—assists PI with responses to sponsor inquiries

• SPO—reviews responses to sponsor inquiries and provides institutional endorsement of those responses; negotiates terms of award; accepts award on behalf of UC Regents

• Other OR units—IRB, COI and other compliance units review and provide input as appropriate for the project

• Other campus units—EHS, IACUC and other compliance units review and provide input as appropriate for the project; CGA creates the expenditure account(s) for the project
Process - Conducting the research

- **PI**—this is the fun part and the PI is the only one who can do it!; must monitor expenditures; also monitors expenditures and progress of subawardees/consultants; must complete effort reports and other required reports

- Department/college administration—assists PI with purchases, payroll actions and other administrative matters as necessary

- SPO—executes subawards if necessary, requests NCTEs, processes rebudget requests, etc.

- Other OR units—IRB conducts periodic reviews as required

- Other campus units
  - CGA monitors expenditures and provides periodic financial reports to sponsor
  - Campus Contracting Services executes Subcontracts
  - Purchasing oversees major purchases
  - Risk Management monitors risks and mitigates accordingly
Process - Closeout

- PI—must write and submit technical report; must complete invention disclosures as required; must approve final financial report on project

- Department/college administration—assists PI with completion of required documentation for closeout

- SPO—records required closeout activities and closes project record

- Other OR units—IA can assist with invention report questions

- Other campus units—CGA produces and submits final financial report

- Other system units—UCOP files federally-funded invention records in iEdison
Other Proposal Transactions

- Just-in-Time documents
- Indirect Cost Contributions
- Advance accounts
- PI exceptions
Roles and responsibilities

- PI
- Department/college administration
- SPO
- Other OR units
- Other campus units
- Other system units
Roles and responsibilities

Principal Investigator (PI):
Primary engine of the entire research enterprise—nothing would happen without them.

• Ultimately responsible for what gets done and how

• Creative genius—generate the ideas

• Write the proposal

• Conduct the research

• Report, disclose and publish
Roles and responsibilities

Department/college/institute/center administration:

Administrative Staff:

- Assist PI in proposal preparation
  - Primary interface between PI and SPO
  - Help find institutional data that PI needs for proposal (institutional information http://research.ucdavis.edu/about-us/institutional-information/)
    Usually prepares data sheet and transmits proposal to SPO
- Assist PI in conduct of research
  - Assist with completion of regulatory requirements
  - Assist with purchasing
- Assist PI in closeout
  - Monitor deadlines
  - Assist with formatting reports, disclosures
  - Assist with publication preparation

Chair/Dean:

- Sign data sheet to commit unit resources
- Support/advise PI
Roles and responsibilities

Department/college/institute/center administration:

• The data sheet is a critical internal document to accompany each proposal.
• The data sheet may be found at http://research.ucdavis.edu/wp-content/uploads/SPO-04-16-2015_DataSheet.pdf
• Information on the data sheet is specific to the current proposal and must be completed with information provided by the Principal Investigator.
• For efficient processing of the proposal, it is essential that information on the data sheet be complete and accurate.
• Data from the data sheet are used to generate the institutional record of the proposal in SPO’s database.
• Future versions of the data sheet will become fully electronic.
Roles and responsibilities

Sponsored Programs Office

DATA SHEET FOR CONTRACT AND GRANT PROPOSAL OR SERVICE AGREEMENT REQUESTS

This form and the instructions for completing it are on the Forms page of the Office of Research website.

Deliver/mail form to:

Sponsored Programs Office,
1850 Research Park Drive, Suite 300,
University of California, Davis, CA 95618

For IPO Use Only:

Institution No:
Date to ET&IS:
Date to CO:
Date to EMA:

To avoid delays in processing, please complete the Data Sheet in its entirety.

1. Type of Request (Please check only one):

☐ Contract and Grant Proposal
☐ Service Agreement - UC is providing a service for an outside entity (Acc. Complete Exhibit A)

Sponsor Deadline, if any:
Receipt Date
Electronic Submission:
No
Yes (Please provide website)

2. Principal Investigator (PI)/Project Director (PO) Information:

Name (Full, Middle, Last):
Employee ID:
Phone:
Fax:
E-mail:

3. Administering Department/Unit Information:

Administering Department Name:
Department Financial Contact Name:
Phone:
Fax:
E-mail:

4. Sponsor/Other Party Information:

Sponsor/Other Party Name (Indicate the name of the organization which will directly provide funding to UC Davis):
Address:
Phone:
Fax:
E-mail:

Has the Other Party provided a written contract or purchase order?
No
Yes (Please attach)

Prime Sponsor: If not through:

5. Project Information:

Type of Request:
☐ New
☐ Renewal
☐ Continuation
☐ Supplement
☐ Revision/Resubmission

In response to RFP, RFA, RFG, BAA, FOA, etc.?
☐ No
☐ Yes (Attach copy or provide website)

Limited Submission?
☐ No
☐ Yes (Attach nomination letter)

Project Title:

Project Type (Please only choose one):
☐ Basic Research
☐ Applied Research
☐ Developmental Research
☐ Clinical Trial
☐ Other Research
☐ Training
☐ Equipment
☐ Public Service
☐ Other Services
☐ Other

Project Period (in months):
From:
To:

Amount of Request:

Indirect (F&A) Cost Rate:
%:
Date:
☐ MTOC
☐ TOC
☐ TTOC
☐ Other (Specify):
Roles and responsibilities

**SPO:**

- Answer questions and provide access to informational resources for PIs and departmental staff to assist with all aspects of proposal preparation, regulatory requirements, reporting and closeout.

- Review proposals for institutional commitments and adherence to internal and external regulatory requirements.

- Provide institutional endorsement of proposals per University and sponsor requirements.
Roles and responsibilities

**SPO:**

- Maintain institutional sponsored programs proposal and award database.
- Coordinate and submit sponsor just-in-time (JIT) requests (pre-award and post-award).
- Negotiate awards.
- Set up awards with Contracts & Grants Accounting (CGA).
- Assist with reporting requirements.
- Assist with closeout of completed awards.
Roles and responsibilities

Other OR units:

• Interdisciplinary Research Support (IRS) - assists finding funding and with development of complex proposals; operates the limited submission program

• Institutional Research Board (IRB) - oversees human subjects research
  • 3 committees
  • 2 clinical research
  • 1 behavioral and social research

• Research Compliance and Integrity (RCI)
  • Conflict of interest
  • Responsible Conduct of Research
  • Research integrity
  • Export control
  • Research Misconduct

• Innovation Access (IA)
  • IP management
  • IP licenses
  • Material Transfer Agreements (MTA)
  • Confidentiality agreements not related to a specific research project

• Office of Corporate Relations (OCR)

• OR Committees (not all strictly part of OR—see next slide)
Roles and responsibilities—Research Committees

- Administrative Coordinating Council for Deans (ACCD) - coordinates research programs involving 3 or more schools, colleges or divisions.

- Committee for Research Integrity (CRI) - appointed by the Provost and staffed by the VCR, recommends strategies for compliance with regulations and policies regarding research.

- Conflict of Interest Committee (COIC) - reviews COI disclosures and recommends actions to manage or mitigate conflicts.

- Core Facilities Committee - recommends structure and procedures for administration of core facilities.

- Institutional Biosafety Committee (IBC) - oversees use of recombinant DNA, infectious agents and biohazardous materials, reports to the VC for Administrative and Resource Management.

- Research Coordinating Council (RCC) - associate deans for research of the colleges and schools, a forum for communication between the OR and colleges/schools, and to discuss potential collaborative efforts among multiple colleges and schools.

- Research Recommendations Implementation Committee (RRIC) - advises the VCR on improvements and implementation strategies for research administration.

- Stem Cell Research Oversight Committee (SCRO) - reviews and decides on acceptability of protocols involving human stem cell research.
Contracts and Grants Accounting

- Allocates funds
- Fiscal oversight and reporting
- Works with auditors
- Effort reporting
- Cost share reporting
- Fiscal closeout
University Relations

• Gift funding

• Gift support

• Can’t be any strings attached!
Roles and responsibilities

Other campus units:

• Committee on Research—part of Academic Senate, oversees internal research support programs.

• Anatomical Materials Review Committee (AMRC)—part of School of Medicine oversees use of human anatomical specimens in research.

• Biorepository Workgroup advises VCR on development and implementation of campus biorepositories.

• College of Engineering Research & Library Committee—part of CoE, makes decisions on engineering limited submissions proposals and recommendations on CoE research facilities.

• Human Anatomical Specimen and Tissue Oversight Committee (HASTOC)—appointed by the Dean of Medicine, advises on use of human specimens in research.

• Industry Relations Committee—specific to the UCD Health System to advise and recommend actions regarding conflict of commitment, conflict of interest and vendor relations.

• Translational Research Integration and Compliance Committee (TRICC)—part of the School of Medicine, reviews and recommends regarding several programs impacting clinical and translational research.
Roles and responsibilities

Other system units:

• University of California Office of the President—provides direction on types of research acceptable to conduct on UC campuses (e.g., [http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/tobacco-industry-funding/index.html](http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/tobacco-industry-funding/index.html))

• Research Policy Analysis & Coordination—provides guidance and systemwide coordination on research policy implementation [http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/index.html](http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/index.html)

• UCOP General Counsel
Today we are going to talk about.....

- Intro to Sponsored Programs
- Why have Sponsored Programs?
- Proposals – Essentials & Best Practices

**Resources**

- Our website - [http://research.ucdavis.edu/](http://research.ucdavis.edu/)
- The Compliance Guide (IRB, IACUC, etc.)
- Listserves
- Monthly Research Forums
- Other classes that we offer through Staff Development and Professional Services (SDPS)
Our Website...

- The Office of Research main page is: [http://research.ucdavis.edu/](http://research.ucdavis.edu/)
  - Faculty Toolkit
  - Announcements

- Sponsored Programs main page is: [http://research.ucdavis.edu/proposals-grants-contracts/spo/](http://research.ucdavis.edu/proposals-grants-contracts/spo/)
The Compliance Guide

• Can be found at our website, under the Award Management tab -
Listserv Subscriptions

Copyright Info: Moderated forum for information related to copyright as it affects the UC Davis campus. 
https://lists.ucdavis.edu/sympla/info/copyright.info

DMCA Info: Moderated forum for information related to the DMCA as it affects the UC Davis campus. 
https://lists.ucdavis.edu/sympla/info/dmca.info

Funding: This moderated list is for disseminating information about Limited Submissions programs and other new funding opportunities. Limited Submissions programs are funding opportunities in which the sponsor agency allows UC Davis to submit only a limited number of applications. Please subscribe using your UC Davis (@ucdavis.edu or _@ucdmc.ucdavis.edu) email account. If you are not signed in to Sympa, you will need to sign in before seeing the list information.

- Weekly Research Funding Update: Subscribe to one of the following three listservs to receive the relevant Weekly Research Funding Update. Weekly emails are only sent when there are new opportunities or information.
  1. Funding Announcements General: https://lists.ucdavis.edu/sympla/subscribe/funding/index.html
  2. Funding Announcements Humanities: https://lists.ucdavis.edu/sympla/subscribe/fundinghum/index.html

- The following listservs were developed with assistance from the Funding Opportunities Program. Contact Kassie Obelleiro (kobelleiro@ucdavis.edu) if you are interested in developing your own.
  1. Air Quality Research Center (AQRC) General Funding Opportunities: 
     https://lists.ucdavis.edu/sympla/subscribe/aqrc-general
  2. AQRC Climate Funding Opportunities: https://lists.ucdavis.edu/sympla/subscribe/aqrc-climate
  3. AQRC Health Funding Opportunities: https://lists.ucdavis.edu/sympla/subscribe/aqrc-health
  4. Crocker Nuclear Laboratory and Cyclotron Funding Opportunities: 
     https://lists.ucdavis.edu/sympla/subscribe/cnl-funding

IRB Info: This moderated list is for notifying all UC Davis human subject researchers and research personnel of changes to the UC Davis Human Research Protection Web site and/or policy and procedure changes of the UC Davis Institutional Review Board (IRB). https://lists.ucdavis.edu/wws/subscribe/irb-info

ORC Info: This moderated list is for notifying UC Davis faculty, staff and research personnel of changes to the UC Davis Research Compliance and Integrity Web site and/or policy and procedure changes of the related compliance committees.

- Research Compliance and Integrity Announcements: https://lists.ucdavis.edu/sympla/info/or-rci

OVCRC-cq: This moderated list is for disseminating information about contract and grant administration, and related trainings and workshops. It is the primary mechanism for informing the campus community of the latest research administration news. https://lists.ucdavis.edu/sympla/info/ovcr-cq

RCR: This moderated list is for individuals to receive information regarding the Responsible Conduct of Research Program (ethical research training) at UC Davis

- RCR Program Announcements: https://lists.ucdavis.edu/sympla/info/rcr
Sponsored Programs Essentials
Reference Materials


Principles in rights to future research result - [http://policy.ucop.edu/doc/2500487/PrinciplesRegardingResearchResults](http://policy.ucop.edu/doc/2500487/PrinciplesRegardingResearchResults)

Consulting with Industry –

UC Davis Policies (SPO) - [http://manuals.ucdavis.edu/PPM/contents.htm](http://manuals.ucdavis.edu/PPM/contents.htm)


Advance Account Request –

IP Awareness Training module - [http://research.ucdavis.edu/industry/ia/researchers/ip-types/](http://research.ucdavis.edu/industry/ia/researchers/ip-types/)


Where to sign up for Listservs - [http://research.ucdavis.edu/resources/listserv-subscriptions/](http://research.ucdavis.edu/resources/listserv-subscriptions/)
Monthly Research Forums

• The fourth Wednesday of each month from 8:30-10am
• Located at Sponsored Programs office - 1850 Research Park Drive, Davis.
• Invitations are sent out via the OVCR-cg listserv (visit our website to sign up for this listserv)
Other classes that we offer

- Sponsored Programs Essentials, Part 2: Post Award
- Proposal Preparation and Submission
- Writing a Proposal Budget: Lab*
  *the “concepts” course is offered online
- Understanding the Awards Process
- Other courses
  - Intellectual Property at UC Davis (In conjunction with Innovation Access)

Please visit the SDPS website for a list of dates and times and to sign up for all of our classes
http://sdps.ucdavis.edu/
Questions?

• What questions do you have?

• Don’t forget your evaluation forms!
For research-related announcements, you can now follow SPO on Twitter!

Follow us at @UCDavisSPO

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